

12/10/01

J1025 U.S. PTO

12-17-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0551-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. L-1609

First Inventor Valdemar Portney

Title ACCOMMODATING INTRAOCULAR LENS

Express Mail Label No. ET420113492US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification (Total Pages 35)  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets 6)
5. Oath or Declaration (Total Pages 2)
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CO-R in duplicate (large table or Computer Program (Appendix))
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on
    - i. ☐ CD-ROM or CO-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☐ Other .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application information

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

☒ Correspondence address below

Name Howard R. Lambert

Address 5245 Gatewood Lane

City Anaheim

State

CA

Zip Code

92807

Country U.S.A.

Telephone

(714) 637-5678

Fax

(714) 637-5678

Name (Print Type)

Howard R. Lambert

Registration No. (Attorney/Agent)

27,206

Signature

Howard R. Lambert

Date

12-07-2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

J1025 U.S. PTO  
10/016705

12/10/01

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 475.00

## Complete if Known

Application Number  
 Filing Date  
 First Named Inventor VALDEMAR PORTNEY  
 Examiner Name  
 Group Art Unit  
 Attorney Docket No. L-1609

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account.

Deposit Account Number 12-0432  
 Deposit Account Name Howard R. Lambert

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$370.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
27	-20** = 7	9	63
4	-3** = 1	42	42
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$105.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00

## SUBMITTED BY

Name (Print/Type) Howard R. Lambert Registration No. (Attorney/Agent) 27,206 Telephone (714) 637-5678  
 Signature [Signature] Date 12-07-2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231.

Attorney's Docket No. L-1609

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of:

Inventor: VALDEMAR PORTNEY

For: **ACCOMMODATING INTRAOCULAR LENS**

## 1. Type of Application

This new application is for a(n)

- ☒ Original (non-provisional) utility  
☐ Design  
     ☐ Plant  
☐ Divisional.  
☐ Continuation.  
☐ Continuation-in-part (C-I-P).

## 2. Benefit of Prior U.S. Application(s) (35 U.S.C. 119(e), 120, or 121)

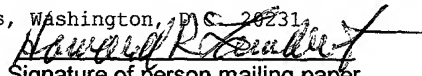
☒ none

## 3. Papers Enclosed That Are Required for Filing Date under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application

25 Pages of specification9 Pages of claims1 Page of Abstract6 Sheets of drawing☒ formal☐ informal

## CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on December 10, 2001 in an envelope as Express Mail, Post Office to Addressee Mailing Label Number ET420113492US addressed to: Box: PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
 Signature of person mailing paper

**4. Additional papers enclosed**

- ☐ Preliminary Amendment  
☐ Information Disclosure Statement (37 CFR 1.98)  
☐ Form PTO-1449  
☒ Power of Attorney  
☐ Form PTO/SB/17 Fee Transmittal for FY 2001  
☐ Form PTO/SB/05 Utility Patent Application Transmittal

**5. Declaration or oath:**

- ☒ Inventor Valdemar Portney  
☐ Legal representative of inventor(s). 37 CFR 1.42 or 1.43.  
☐ Not Enclosed.

**6. Assignment:**

- ☐ An assignment of the invention to: \_\_\_\_\_  
☐ Is attached.  
☐ Will follow.

**7. Fee Calculation (37 CFR 1.16)**

CLAIMS AS FILED				
	Number filed	Number extra	Rate (Small Entity)	Basic Fee 37 CFR 1.16(b) \$370.00
Total Claims (37 CFR 1.16(c))	27- 20 =	7 x	\$ 9.00=	\$ 63.00
Independent Claims (37 CFR 1.16(b))	4 - 3 =	1 x	\$ 42.00=	\$ 42.00
Multiple dependent claim(s), if any (37 CFR 1.16(d))		-	\$135.00=	\$ 0.00

- ☐ Amendment canceling extra claims enclosed.  
☐ Amendment deleting multidependencies enclosed.  
☐ Fee for extra claims is not being paid at this time.

**Filing Fee Calculation****\$ 475.00****8. Small Entity Statement(s):**

- ☒ Applicants' assert that Application is entitled to Small Entity status.  
☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9c is attached.  
☐ Status as a small entity was claimed in prior application serial No. \_\_\_\_\_, filed on \_\_\_\_\_ from which benefit is being claimed for this application under:  
 35 U.S.C. ☐ 119(e),  
☐ 120,

- ☐ 121,  
☐ 365(c),

and which status as a small entity is still proper and desired.

☐ A copy of the verified statement in the prior application is included.

**9. Request for International-Type Search (37 CFR 1.104(d)):**

- ☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

**10. Fee Payment Being Made at This Time:**

- ☐ Not Enclosed  
☐ No filing fee is to be paid at this time.
- ☒ Enclosed
- |   |                  |
|---|------------------|
| <input checked="" type="checkbox"/> Basic filing fee  | \$ 475.00        |
| <input type="checkbox"/> Recording assignment<br>(\$ 40.00; 37 CFR 1.21(h))<br>(See attached cover sheet for<br>"ASSIGNMENT ACCOMPANYING NEW APPLICATION".) | \$ _____         |
| <input type="checkbox"/> For processing an application with a<br>specification in a non-English language.<br>(\$130.00; 37 CFR 1.52(d) and 1.17(k))         | \$ _____         |
| <input type="checkbox"/> Processing and retention fee<br>(\$130.00; 37 CFR 1.53(d) and 1.21(l))   | \$ _____         |
| <input type="checkbox"/> Fee for international-type search report<br>(\$40.00; 37 CFR 1.21(e))  | \$ _____         |
| <b>TOTAL FEES ENCLOSED</b>  | <b>\$ 475.00</b> |

**11. Method of Payment of Fees**

- ☒ Check number 153 in the amount of \$ 475.00  
☐ Charge Account No. 12-0432 in the amount of \$ \_\_\_\_\_  
A duplicate of this transmittal is attached.

**15. Authorization to Charge Additional Fees**

- ☒ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 12-0432.
- ☒ 37 CFR 1.16(a), (f) or (g) (filing fees)  
☒ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)  
☐ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)  
☐ 37 CFR 1.17 (application processing fees)

**16. Instructions as to Overpayment:**

- ☒ Credit Account No. 12-0432  
☐ Refund

  
**SIGNATURE OF ATTORNEY**

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